

## EXHIBIT 2.8: HISTORIC PROPERTY SURVEY REPORT (HPSR) FORMAT AND CONTENT GUIDE

The Historic Property Survey Report (HPSR) is the summary document Caltrans uses as its consultation and decision-making document. Under the Section 106 PA, Caltrans uses it to request SHPO's concurrence on determinations of eligibility for properties that were evaluated within the project APE. *Use the HPSR with Findings-Transmit to State Historic Preservation Officer (SHPO) whenever there are resources within the APE that have been evaluated, regardless of the eligibility determination.* Caltrans uses the HPSR with Findings-Do Not Transmit to SHPO only when there are NO properties (regardless of eligibility) within the APE. Note however that a "Do Not Transmit to SHPO" HPSR may be used when SHPO has previously concurred that a property is not eligible and the SHPO letter is attached. Caltrans uses the HPSR with Findings-Transmit to SHPO to consult with SHPO on eligibility of properties while the HPSR with Findings-Do Not Transmit to SHPO documents a decision made in-house for Section 106 compliance.

### HPSR FORMAT

- Title page
- Summary of Findings
- Project Description
- Summary of Identification Efforts
- Public Participation
- Cultural Resources Identified
- No Historic Properties Affected Finding (as appropriate)
- Informal Views
- Exhibits
- Maps
- Back-up Reports
- Other Attachments

***Don't forget the transmittal memo!***

The HPSR may also document a Finding of No Historic Properties Affected as well as a Finding of No Adverse Effect with Standard Conditions (when using an ESA to protect a property). Caltrans also uses the HPSR to demonstrate compliance with CEQA and, for state-owned resources, compliance with Public Resources Code (PRC) §5024. However, state-only projects use the Historical Resources Compliance Report to demonstrate compliance with CEQA and PRC §5024; see [Chapter 2](#) and [Exhibit 2.15](#).

For federal undertakings, the HPSR serves as simultaneous documentation for Caltrans compliance with CEQA and, for state-owned resources, compliance with Public Resources Code (PRC) §5024. However, state-only projects use the Historical Resources Compliance Report to demonstrate compliance with CEQA and PRC §5024; see Chapter 2 and Exhibit 2.15.

The HPSR documents completion of the identification phase, completion of National Register eligibility evaluation of the resources within the project

APE, and, when relevant, a Finding of No Historic Properties Affected or No Adverse Effect with Standard Conditions. Attach the technical study reports to the HPSR as supporting documentation. Use summary sections in the HPSR to refer to the attached supporting documents for full technical details. Provide sufficient information on cultural resource studies in the HPSR summaries so that the reader clearly can understand the reasoning behind Caltrans' determinations of eligibility and, if applicable finding of effect. See [Exhibit 2.18](#) for information on what needs to be in these summaries.

## **GENERAL HPSR FORMAT**

The HPSR may either follow a narrative format or the "short form" format included at the end of this exhibit. The HPSR short form is available in electronic format through the Headquarters Cultural & Community Studies Office and on-line at the Division of Environmental Analysis website. The HPSR short form may be used when the project is simple or not large in scope or number of evaluated resources, or there are no properties within the APE. If a project is large, complex or controversial, however, it is recommended that the HPSR be prepared in narrative format instead of using the short form. Whichever format is used, be sure to include the following information as necessary in the appropriate HPSR:

### **A. Title Page**

Identify project by Caltrans district, county, route, post mile limits, kilo posts, and EA. A brief descriptive title, such as "Minor Widening on Route 53 between Fern Creek and Matador Road," may also be used. Include the report author's name and any co-authors as necessary. A title page is not necessary when using either short form.

### **B. Summary of Findings**

State the purpose of the document (e.g., to request SHPO concurrence on Caltrans' determination(s) of National Register eligibility or ineligibility for evaluated cultural resources, and to document a proposed finding of "No Historic Properties Affected," if applicable); and briefly summarize the results of cultural resource studies.

In order to minimize redundancy for Caltrans and SHPO and in the spirit of the federal Paperwork Reduction Act, if there are state-owned historical resources within the APE, state that the purpose of the HPSR also is to request SHPO's comments on the National Register/State Historical Landmark eligibility or ineligibility of the state-owned resource(s), and if eligible, to add the eligible building(s) or structure(s) to the Master List of Historical Resources (Master List), pursuant to PRC §5024(d).

### **C. Project Description**

- a) Describe the project concisely, including information on the actual physical impacts such as the horizontal and vertical extent of any ground disturbance.
- b) Include a map showing the project's location (see item I below).
- c) Provide a map of the area investigated, with the Area of Potential Effects (APE) delineated (see item H below).

### **D. Summary of Identification Efforts**

Include inventories, facilities, and persons consulted at a minimum, the following:

- National Register of Historic Places and updates;
- California Register of Historical Resources;
- California Inventory of Historic Resources;
- California Historical Landmarks;
- The appropriate Information Center of the California Historical Resources Information System.

Note also any other sources (human or archival) used, such as county assessors records, historical society or museum archives, oral histories taken from property owners or old-timers, etc.

Describe the results of the research.

### **E. Public Participation**

Summarize coordination efforts and public comments received to date. If the project is simple, limit these to contacts (including form letter notifications) with local historical societies, Native Americans, governments, or other interest groups. For projects involving ND/FONSI or EIR/EISs, public involvement may include map displays or public hearings. Describe NEPA public involvement events that are expected as well as those that have occurred.

### **F. Properties Identified**

List cultural resources that were identified within the APE, and provide pertinent information for each of them. Include concise but sufficient background and contextual information about the project area so that the reader can understand the significance (or lack of significance) of the evaluated resources. Be sure to include summary information about National Register eligibility and whether a resource is a significant resource under CEQA. Note that Caltrans

prepared documents state that a resource is eligible, while consultant prepared reports state that a resource appears eligible.

Include, as appropriate:

- a) Historic properties listed in the National Register.
- b) Historic properties previously determined eligible or not eligible for the National Register.
- c) Potentially eligible historic properties, referring to eligibility evaluations in attached supporting documentation.
- d) Properties which appear potentially eligible but for which further study is needed because evaluation was not possible (e.g., archaeological sites that require a test excavation to determine eligibility).
- e) Resources evaluated as not eligible for inclusion the National Register, referring to relevant attached supporting documentation.
- f) State-owned historical buildings and structures to be added to the Master List per PRC §5024.
- g) Historical Resources for the purposes of CEQA (includes National Register and California Register listed and eligible properties, California Register listed or eligible (per State Historical Resources Commission determination) resources, resources identified as significant in surveys that meet Office of Historic Preservation standards, resources that are designated landmarks under local ordinances, and resources that meet the California Register criteria as outlined in PRC §5024.1)
- h) Resources that are not significant resources under CEQA

To facilitate SHPO's ability to maintain the OHP's comprehensive, computerized inventories of eligible and not eligible resources, the identifying information for each resource needs to follow a specific format that includes the name of a property (if there is one), location information, the community the resource is in (or the nearest community) and the Map Reference number that is keyed to the APE map, and OHP's historical resource status code, if available. For example:

The following properties are eligible for inclusion in National Register and are historical resources under CEQA:

Name	Address/Location	Community	OHP Status Code	Map Ref. #
Smith House	451 Main St.	Anywhere, CA	2	(MR #1)
Ortega Feed Store	10097 Highway 4	Anywhere (vic.), CA	2	(MR#5)

The following state-owned buildings and structures are eligible for inclusion in the National Register and to be included in the Master List pursuant to PRC §5024(d):

Name	Address/Location	Community	OHP Status Code	Map Ref. #
Edelberg House	496 Main St.	Anywhere, CA	4	(MR #25)
Summit Maintenance Stn	10099 Highway 4	Anywhere (vic.), CA	4	(MR #6)

None of the following properties are eligible for inclusion in the National Register and are not historical resources under CEQA:

Name	Address/Location	Community	OHP Status Code	Map Ref. #
Able's Prune Packing Plant	35 E. Canterbury St.	Someplace, CA	6	(MR #1)
Melville Apts.	8012 S. Oceanview Dr.	Someplace, CA	6	(MR #5)
Little River RR Viaduct	Next to SR 43, KP 10.7	El Nido, CA	6	(MR #18)

Do not list properties that meet the criteria for [Section 106 PA Attachment 4](#) (Properties Exempt from Evaluation). Instead include the appropriate paragraph as follows:

[Name of Caltrans architectural historian or qualified consultant architectural historian], who meets the Professionally Qualified Staff Standards in [Section 106 PA Attachment 1](#) as an Architectural Historian or above, has reviewed the project's APE and confirmed that the only other properties present within the APE, including state-owned resources, meet the criteria for Section 106 PA Attachment 4 (Properties Exempt from Evaluation).

[Name of Caltrans archaeologist or qualified consultant archaeologist], who meets the Professionally Qualified Staff Standards in Section 106 PA Attachment 1 as a Lead Archaeological Surveyor or above, has reviewed the project's APE and confirmed that the only other properties present within the APE meet the criteria for Section 106 PA Attachment 4 (Properties Exempt from Evaluation).

Provide the site trinomial (e.g., CA-TRI-433) for each archaeological site covered in the document. As some Information Centers have a backlog in assigning trinomials, using a primary number is acceptable for those counties. However, every effort should be made to acquire a trinomial for evaluated archaeological sites.

The OHP Historical Resources Status Codes were revised in August 2003. Among other changes California Register listings and eligibility determinations have been added as extensions to the code. For example "1S" means a

historic property individually listed in the National Register and also listed in the California Register, while “1CS” means a property individually listed in the California Register only. As of August, 2003 status code “4” applies only to state-owned resources that are included in the Master List through the PRC §5024 compliance process. See the Office of Historic Preservation's (OHP) [Historical Resources Status Codes](#) for a full list of the codes.

### **G. Findings**

Select the appropriate finding for the undertaking as a whole. Under the Programmatic Agreement, Caltrans is authorized to make eligibility determinations on behalf of FHWA. If a consultant is preparing the HPSR, the consultant states that properties “appear” eligible or not eligible.

For state-owned resources, state which ones meet National Register/State Historical Landmark eligibility criteria, that Caltrans requests SHPO’s comments under PRC §5024, and for National Register/State Historical Landmark eligible buildings and structures, that SHPO add them to the Master List per PRC §5024(d).

If Environmentally Sensitive Areas (ESAs) are used to ensure that the project will have no effect on evaluated resources, describe the ESA here. Include all restrictions on activities within the ESA and describe how the restrictions will be enforced (e.g., by placing the restrictions in the PS&E, fencing, monitoring construction, etc.). Include any other relevant information to support the proposed finding.

### **H. Caltrans Approval**

Under the Section 106 PA the Caltrans PQS or a qualified consultant prepares the HPSR. Only Caltrans PQS may review HPSRs for approval, which the DEBC approves. The Caltrans PQS or consultant who prepares the HPSR signs, dates and includes his/her discipline, PQS level (as applicable) and District/Headquarters or affiliation. The Caltrans PQS reviewing the HPSR for approval likewise signs, dates, and includes his/her PQS discipline, level and District.

### **I. Exhibits**

#### **a) Location Map, Project Vicinity Map and APE Map**

Include, at minimum, a map showing project location and vicinity, and a project APE map illustrating the proposed project, upon which the APE limits have been delineated. If no cultural resources are present and a “Do Not Transmit to SHPO” HPSR is used, the project APE map must simply be of sufficient scale to document the APE.

If cultural resources are present, the project APE map must be of sufficient scale (200' scale is preferred) and have enough project detail to demonstrate the relationship of historic properties to the proposed project, especially important if the HPSR serves to document a Finding of No Historic Properties Affected or a Finding of No Adverse Effect with Standard Conditions. Clearly show the APE, the location of all properties discussed, the boundaries of any eligible or listed historic properties, and the boundaries of any ESAs used. Include a scale and north arrow.

If there are historic properties, the APE map should be drawn to encompass the boundaries of any National Register listed or eligible properties (including previously determined eligible and newly evaluated as eligible properties). It is permissible to indicate an Area of Direct Impact (ADI), but the ADI must be entirely within the APE.

#### **b) Photographs and Other Exhibits**

Include other appropriate exhibits. Good clear exhibits and graphics are invaluable to demonstrate the arguments and decisions discussed made in the text.

Photos and graphics, which illustrate the following, can enhance the HPSR's effectiveness as a consultation tool:

- Integrity (or lack of it) of cultural resource(s)
- Integrity of setting for cultural resource(s),
- Engineering plans,
- Profiles and cross-sections which show the actual limits of project effects, SHPO's copy of the HPSR should either contain original photographs or scanned images that are clear when printed out.

#### **J. Attachments**

Include, as appropriate:

- Archaeological Survey Report, Extended Survey Report
- Historic Resource Evaluation Report
- Bridge Evaluation
- Test Excavation Report
- Letters from historical societies, Native American groups, local governments, other special interest groups, the SHPO, etc.

Below is an example of the HPSR short form.

## HISTORIC PROPERTY SURVEY REPORT

California Department of Transportation

### 1. UNDERTAKING DESCRIPTION AND LOCATION

District	County	Route	Kilo Posts	Post Miles	Charge Unit	Expenditure Authorization

(Both kilometer posts and post miles must be completed above. Insert project description below & refer reader to location and vicinity maps in HPSR)

Project Description:

(Add brief description here.)

### 2. AREA OF POTENTIAL EFFECTS

The Area of Potential Effects (APE) for the project was established in consultation with (name of Caltrans PQS), (PQS discipline), and (name), Project Manager, on (date). The APE maps are located (specify technical study, figure or exhibit number) in this Historic Property Survey Report.

The APE was established as (add brief description as to where and how boundaries were set.).

### 3. CONSULTING PARTIES / PUBLIC PARTICIPATION

(For the following, list names, dates, and locations and results of contacts, as appropriate. List organizations/persons contacted and attach correspondence and summarize verbal comments received as appropriate.)

- ☐ Local Government (Head of local government, Preservation Office / Planning Department)
  -
- ☐ Native American Tribes, Groups and Individuals
  -
- ☐ Native American Heritage Commission
  -
- ☐ Local Historical Society / Historic Preservation Group (also if applicable, city archives, etc.)
  -
- ☐ Public Information Meetings [list locations, dates below and attach copies of notices]
  -
- ☐ Other
  -

### 4. PROPERTIES IDENTIFIED

(Check the appropriate category, list properties, or refer reader to appropriate technical study attached, according to their National Register status. Provide, as appropriate, complete address, period and level of significance, criteria, map reference, and any existing state or local designation. Do not include properties that are not within the APE. Attach previous SHPO determinations, as applicable.)

- ☐ No cultural resources in APE or resources as described in Section 7 below.
- ☐ Properties previously listed or determined eligible or not eligible (include date of listing or determination):
  -
- ☐ Caltrans, on behalf of FHWA, has determined that there are archaeological sites considered eligible for the National Register without conducting subsurface testing or surface collection within the APE, which will be protected from any potential effects by the establishment of an ESA, in accordance with Section 106 PA Stipulation VIII.C. See attached documentation.
  -



## HISTORIC PROPERTY SURVEY REPORT

California Department of Transportation

- ☐ Caltrans, on behalf of FHWA, has determined the following properties are eligible:
  -
- ☐ Caltrans, on behalf of FHWA, has determined the following properties are not eligible:
  -
- ☐ *(Name)*, (indicate whether person is Caltrans or consultant architectural historian or archaeologists), who meets the Professionally Qualified Staff Standards in Section 106 Programmatic Agreement (Section 106 PA) Attachment 1 as a(n) *(Indicate PQS level for which the person qualifies)*, has reviewed the project's APE and confirmed that the only other properties present within the APE meet the criteria for Section 106 PA Attachment 4 (Properties Exempt from Evaluation).
- ☐ State-owned historical buildings and structures to be added to the Master List, per PRC §5024(d):
  -
- ☐ State-owned buildings and structures that are not eligible:
  -

### 5. LIST OF SOURCES CONSULTED

- ☐ National Register of Historic Places      Month & Year: 1979-2002 & supplements
- ☐ California Register of Historical Resources      Year: 1992 & supplemental information to date
- ☐ California Inventory of Historic Resources      Year: 1976
- ☐ California Historical Landmarks      Year: 1995 & supplemental information to date
- ☐ California Points of Historical Interest      Year: 1992 & supplemental information to date
- ☐ State Historic Resources Commission      Year: 1980-present, minutes from quarterly meetings
- ☐ Caltrans Historic Highway Bridge Inventory      Year: 2003 & supplemental information to date
- ☐ Archaeological Site Records [*List names of Institutions & date below*]
  -
- ☐ Other sources consulted [*e.g., historical societies, city archives, etc. List names, dates and results below*]
  -

### 6. LIST OF ATTACHED DOCUMENTATION

(Provide the author/date and peer reviewer/ date of the technical reports)

- ☐ Project Vicinity, Location, and APE Maps
- ☐ California Historic Bridge Inventory sheet
- ☐ Historic Resource Evaluation Report (HRER)
  -
- ☐ Archaeological Survey Report (ASR)
  -
- ☐ Archaeological Excavation Report (CARIDAP, XPI, PII, PIII)
  -
- ☐ Other (*Specify below*)
  -

### 7. FINDINGS – Do Not Transmit to State Historic Preservation Officer

(Check all that apply)

- ☐ A. **No cultural resources are present** within the project's APE.
- ☐ B. The only cultural resources present within the project's APE are **properties that are exempt from evaluation because they meet the criteria of Section 106 PA Attachment 4:**

## HISTORIC PROPERTY SURVEY REPORT

California Department of Transportation

- ☐ (Name), (indicate whether person is Caltrans or consultant architectural historian or archaeologists), who meets the Professionally Qualified Staff Standards in Section 106 Programmatic Agreement (Section 106 PA) Attachment 1 as a(n) (Indicate PQS level for which the person qualifies), has reviewed the project's APE and confirmed that the only other properties present within the APE meet the criteria for Section 106 PA Attachment 4 (Properties Exempt from Evaluation).
- ☐ C. Properties **previously determined not eligible** in consultation with the SHPO, or formally determined not eligible by the Keeper of the National Register. Copy of SHPO/Keeper correspondence is attached.
- ☐ **Bridges listed as Category 5** in the Caltrans Historic Highway Bridge Inventory. Appropriate pages from the Caltrans Historic Bridge Inventory are attached.

### 8. FINDINGS – Transmit to State Historic Preservation Officer

(Check all that apply)

- ☐ IS, under the authority of FHWA, has determined that there are **no historic properties** within the APE of the proposed undertaking. Under Section 106 PA Stipulation VIII.C, Caltrans requests SHPO's concurrence in this determination.
- ☐ IS, under the authority of FHWA, has determined that **there are properties eligible for inclusion in the National Register** within the APE of the proposed project. Under Section 106 PA Stipulation VIII.C, Caltrans requests SHPO's concurrence in this determination.
- ☐ IS, under the authority of FHWA, has determined that **there are properties that are not eligible for inclusion the National Register** within the APE of the proposed project. Under Section 106 PA Stipulation VIII.C, Caltrans requests SHPO's concurrence in this determination.
- ☐ Caltrans, under the authority of FHWA, has determined a **Finding of No Historic Properties Affected**, according to Section 106 PA Stipulation IX.A and 36 CFR 800.4(d)(1), is appropriate for this undertaking.
- ☐ Caltrans has determined that **there are state-owned historical buildings and structures that meet National Register and/or the State Historical Landmarks eligibility criteria** and requests that SHPO add such resources to the Master List of Historical Resources pursuant to PRC §5024(d).
- ☐ Caltrans, under the authority of FHWA, has determined a **Finding of No Adverse Effect with Standard Conditions - ESAs**, according to Section 106 PA Stipulation X.B(2) and 36 CFR 800.5(b), is appropriate for this undertaking. (Include description of ESAs and enforcement measures below.)  
(Description of ESA and enforcement.)
- ☐ Caltrans, under the authority of FHWA, has determined a **Finding of No Adverse Effect with Standard Conditions – Rehabilitation**, according to Section 106 PA Stipulation X.B(2) and 36 CFR 800.5(b), is appropriate for this undertaking. (Name), who meets the Professionally Qualified Staff Standards in Section 106 PA Attachment 1 as Principal Architectural Historian, and has the appropriate education and experience, has reviewed the rehabilitation documentation and determined that they meet the Secretary of the Interior's Standards for the Treatment of Historic Properties. (Include description of Rehabilitation below or indicate below which HPSR attachment contains the description.)  
(Brief description of rehabilitation, or title of attachment where the description can be found.)

### 9. HPSR PREPARATION AND DEPARTMENT APPROVAL

Prepared by (sign on line):

☐ District \_\_\_ Caltrans  
PQS/Generalist:

(Provide PQS level and discipline)

Date

Prepared by: (sign on line)

### HISTORIC PROPERTY SURVEY REPORT

California Department of Transportation

<input type="checkbox"/> Consultant / discipline:	<u>(Provide appropriate PQS discipline)</u>	Date
Affiliation	<u>(Provide firm/company and location)</u>	

Reviewed for approval by: *(sign on line)*

District __ Caltrans PQS discipline/level:	<u>(Provide PQS certification level)</u>	Date
--	--	------

Approved by: *(sign on line)*

District __ EBC Branch:	<u>(Provide Environmental Branch name)</u>	Date
-------------------------	--	------